Electronic Acknowledgement Receipt					
EFS ID:	2447958				
Application Number:	10632818				
International Application Number:					
Confirmation Number:	5247				
Title of Invention:	Auction system and method for pricing and allocation during capital formation				
First Named Inventor/Applicant Name:	William R. Hambrecht				
Customer Number:	2101				
Filer:	Robert Asher				
Filer Authorized By:					
Attorney Docket Number:	2955/107				
Receipt Date:	09-NOV-2007				
Filing Date:	04-AUG-2003				
Time Stamp:	14:49:37				
Application Type:	Utility under 35 USC 111(a)				

# Payment information:

Submitted with Payment	yes
Payment was successfully received in RAM	\$130
RAM confirmation Number	84
Deposit Account	194972

The Director of the USPTO is hereby authorized to charge indicated fees and credit any overpayment as follows:

Charge any Additional Fees required under 37 C.F.R. Section 1.16 and 1.17

## File Listing:

Document Number	Document Description	File Name	File Size(Bytes) /Message Digest	Multi Part /.zip	Pages (if appl.)			
1		dcg2955107 Response.pdf	221707	yes	7			
'		deg2933107_Nesponse.pdi	6f3d1a6d74ac0bbf5cc89356ea8f9a47c 8bdf270	yes	,			
Multipart Description/PDF files in .zip description								
	Document Description		Start	End				
	Miscellaneous Incoming Letter		1	2				
	Amendment - After Non-Final Rejection		3	5				
	Terminal Discla	Terminal Disclaimer Filed		7				
Warnings:								
Information:								
2 Fee Worksheet (PTO-06)	fee-info.pdf	8162	no	2				
2 rec wondineer (170 co)	ioo iiio.pai	6a0f3052fca6aecf2fea6b857df85d597c e9bdbb		_				
Warnings:								
Information:								
	Total Files Size (in bytes): 229869							

This Acknowledgement Receipt evidences receipt on the noted date by the USPTO of the indicated documents, characterized by the applicant, and including page counts, where applicable. It serves as evidence of receipt similar to a Post Card, as described in MPEP 503.

### New Applications Under 35 U.S.C. 111

If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.

#### National Stage of an International Application under 35 U.S.C. 371

If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.

### New International Application Filed with the USPTO as a Receiving Office

If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the International Application Number and of the International Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application.